

Return on Investment (ROI) Program Funding Application

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FINAL AUDIT REQUIRED: The Enterprise Quality Assurance Office of the Information Technology Department is required to perform post implementation outcome audits for all Pooled Technology funded projects and may perform audits on other projects.

This is a Pooled Technology Fund Request. Amount of funding requested: \$797,000.00

Section I: Proposal

Date:	8/19/2002
Agency Name:	Criminal Justice Information System Integration
Project Name:	Criminal Justice Information Systems Integration
Agency Manager:	David Meyers
Agency Manager Phone Number / E-Mail:	(515)725-0411 / david.meyers@itd.state.ia.us
Executive Sponsor (Agency Director or Designee):	Gary Maynard

D. Statutory or Other Requirements

Is this project or expenditure necessary for compliance with a Federal law, rule, or order?

☒ YES (If "Yes", cite the specific Federal law, rule or order, with a short explanation of how this project is impacted by it.)

Explanation:

The U.S. Department of Justice has a major initiative in process dealing with the integration of criminal justice information systems at the state level. This project will expand on the steps already taken by Iowa to reach the goal of a fully integrated statewide criminal justice information system. Additionally, the Federal Bureau of Investigation, Criminal Justice Information Services Division, has adopted a security policy that the Department of Public Safety (DPS) must adhere to in order to maintain its National Crime Information Center (NCIC) Services. This security policy requires that Control Terminal Agencies (CTAs) perform certain functions by no later than the close of fiscal year 2005. DPS is the CTA for Iowa.

Is this project or expenditure required by state law, rule or order?

☒ YES (If "YES", cite the specific state law, rule or order, with a short explanation of how this project is impacted by it.)

Explanation:

The Department of Corrections (DOC) ICON Mercury portion of this project is authorized by the Governor and the Legislature in HF 2552.

Does this project or expenditure meet a health, safety or security requirement?

☒ YES (If "YES", explain.)

Explanation:

An integrated criminal justice information system provides significant health and safety benefits for the public as well as criminal justice practitioners. For example, the DOC ICON Mercury project provides greatly enhanced security features for correctional officers, medical staff, counselors, dietary, maintenance, judges, police officers, sheriffs, and the general public. The FBI security policy, when adopted and implemented by DPS, will help meet the Governors strategic goal of safe communities throughout Iowa by protecting the states citizens by ensuring the integrity of law enforcement telecommunications operations through encryption, identification, and authentication of critical and sensitive information.

Is this project or expenditure necessary for compliance with an enterprise technology standard?

☒ YES (If "YES", cite the specific standard.)

Explanation:

The Department of Corrections ICON Mercury project meets all the enterprise technology standards that were in place at the time the program was written. The Department of Public Safety project will help ensure that the enterprise technology security standards set forth from DAS/ITE are met.

[This section to be scored by application evaluator.]

Evaluation (20 Points Maximum)

If the answer to these criteria is "no," the point value is zero (0). Depending upon how directly a qualifying project or expenditure may relate to a particular requirement (federal mandate, state mandate, health-safety-security issue, or compliance with an enterprise technology standard), or satisfies more than one requirement (e.g. it is mandated by state and federal law and fulfills a health and safety mandate), 1-20 points awarded.

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E. Impact on Iowa's Citizens

a. Project Participants

List the project participants (i.e. single agency, multiple agencies, State government enterprise, citizens, associations, or businesses, other levels of government, etc.) and provide commentary concerning the nature of participant involvement. Be sure to specify who and how many **direct** users the system will impact. Also specify whether the system will be of use to other interested parties: who they may be, how many people are estimated, and how they will use the system.

Response:

The criminal justice information systems integration project involves all agencies in the State involved in criminal justice including the Courts, Law Enforcement, Corrections, and Probation and Parole at the local, state, and federal level. Additionally, many of the states elected officials as well as criminal justice agencies and associations will also be involved. The individual components of this proposal involve the Dept. of Corrections and the Department of Public Safety. These individual components are necessary for these agencies to successfully blend into an itegrated criminal justice information system. Additionally, the citizens of the state are participants to the extent that they will benefit from a safer community and a more efficient, effective, and responsive criminal justice community.

b. Service Improvements

Summarize the extent to which the project or expenditure improves service to Iowa citizens or within State government. Included would be such items as improving the quality of life, reducing the government hassle factor, providing enhanced services, improving work processes, etc.

Response:

This Criminal Justice Integration Project provides significant services to Iowas citizens and State government. The Dept. of Corrections capability: provides for immediate information on all convicted felons in Iowa; allows front line institutional staff to have access to relevant information about the inmate they are dealing with; provides medical information to all medical, dental, and nursing staff; provides pharmacy formulary and drug interaction system to greatly reduce costs and negative medical reactions; makes the counting of inmates easier; determining which offender programs keep offenders from recidivating; provides for assessing the offenders needs with targeted diversion programs; tracks the offender through the various assigned programs. Allows the Department to provide services at the appropriate level; shares data with other agencies to avoid duplication of effort; provides for public safety through knowledge of the offender's actions; provides public information for such offense as sexual assault; complies with Governors and legislative language that DOC develop ICON to be used by public safety agencies; greatly improves work process by moving from a paper and pencil system to a totally automated one; enhances the State of Iowa Code requirement for a criminal sanction continuum; allows for accurate computer projection of inmate offender population.

Through this project the Dept. of Public Safety will provide greatly enhanced safety to Iowas citizens and law enforcement community due to the fact that all data transmitted over dial-up or Internet connections will be protected with encryption. Also, all information passing through the public network segment will be protected by encryption while in that segment. This protection will ensure that there is no unauthorized system access or abuse.

c. Citizen Impact

Summarize how the project leads to a more informed citizenry, facilitates accountability, and encourages participatory democracy. If this is an extension of another project, what has been the adopted rate of Iowa's citizens or government employees with the preceding project?

Response:

The primary stakeholders are the citizens of the state. Due to an enhanced level of safety and security the citizens will enjoy an enhanced standard of living. Other stakeholders include the Governor, the Legislature, the Director of the Department of Corrections, the Commissioner of Public Safety, and other criminal justice agencies and professionals around the state.

The key decision-makers will have accurate data with which to implement or redirect programs and staff to achieve the overall goal of safe communities. This is crucial so that communities are safe and that Corrections and Public Safety resources can be invested wisely and without waste and that citizen tax

dollars are maximized.

A group of equally important stakeholder is the citizens that are under DOC supervision. These citizens deserve a chance at success in life and not endless opportunities to see the inside of a jail or prison.

The staff of all public safety agencies need to know accurate and up to date information on the person they are dealing with.

The general public needs to live in safe communities.

Legislators and policy makers need to know what works, what doesn't and how to make improvements.

d. Public Health and/or Safety

Explain requirements or impact on the health and safety of the public.

Response:

[This section to be scored by application evaluator.]

Evaluation (10 Points Maximum)

- Minimally improves Customer Service (0-3 points).
- Moderately improves Customer Service (4-6 points).
- Significantly improves Customer Service (7-10 points).

[This section to be scored by application evaluator.]

Evaluation (15 Points Maximum)

- Minimally directly impacts Iowa citizens (0-5 points).
- Moderately directly impacts Iowa citizens (6-10 points).
- Significantly directly impacts Iowa citizens (11-15 points).

F. Process Reengineering

Provide a pre-project or pre-expenditure (before implementation) description of the impacted system or process. Be sure to include the procedures used to administer the impacted system or process and how citizens interact with the current system.

Response:

While recognizing and preserving the separate mission of the participating agencies responsible for criminal justice within the state, this project is intended to help integrate the functionality and interoperability of criminal justice information systems. This project intends to help develop and implement information technology solutions for the purpose of integrating the criminal justice systems from the courts, law enforcement, and corrections. Currently, this type of information sharing is not readily practiced in Iowa.

The ICON Mercury system replaces the current Adult Corrections Data System with a state of the art web based application that dramatically impacts and improves the safety of the public as well as the safety of criminal justice practitioners. The current system does not provide the end users with any useful data nor does it provide key decision-makers with critical information to make public safety decisions. The Department of Public Safety is under a federal mandate which requires them to make certain changes and perform specific functions in order to maintain National Crime Information Center services. These services

are required by all law enforcement agencies throughout the State.

Provide a post-project or post-expenditure (after implementation) description of the impacted system or process. Be sure to include the procedures used to administer the impacted system or process and how citizens will interact with the proposed system. In particular, note if the project or expenditure makes use of information technology in reengineering traditional government processes.

Response:

The ICON Mercury system will allow public safety agencies, judges, and policy makers to know what works and what does not work with Iowas rapidly expanding prison system. When the Department of Public Safety implements the newly mandated security policy the upgraded communications network will allow the encryption of data and the authentication of users.

When implemented, these projects will provide the capability for these agencies to effectively exchange vital justice system information at critical decision-making points. This is a major step towards the goal of establishing an integrated criminal justice information system statewide.

[This section to be scored by application evaluator.]

Evaluation (10 Points Maximum)

- Minimal use of information technology to reengineer government processes (0-3 points).
- Moderate use of information technology to reengineer government processes (4-6 points).
- Significant use of information technology to reengineer government processes (7-10).

[This section to be scored by application evaluator.]

Evaluation (5 Points Maximum)

- The timeline contains several problem areas (0-2 points)
- The timeline seems reasonable with few problem areas (3-4 points)
- The timeline seems reasonable with no problem areas (5)

H. Funding Requirements

On a fiscal year basis, enter the estimated cost by funding source: Be sure to include developmental costs and ongoing costs, such as those for hosting the site, maintenance, upgrades, ...

	FY05		FY06		FY07	
	Cost(\$)	% Total Cost	Cost(\$)	% Total Cost	Cost(\$)	% Total Cost
State General Fund	\$0	0%	\$0	0%	\$0	0%
Pooled Tech. Fund /IowAccess						

Fund	\$797,000	100%	\$135,000	100%	\$135,000	100%
Federal Funds	\$0	0%	\$0	0%	\$0	0%
Local Gov. Funds	\$0	0%	\$0	0%	\$0	0%
Grant or Private Funds	\$0	0%	\$0	0%	\$0	0%
Other Funds (Specify)	\$0	0%	\$0	0%	\$0	0%
Total Project Cost	\$797,000	100%	\$135,000	100%	\$135,000	100%
Non-Pooled Tech. Total	\$0	0%	\$0	0%	\$0	0%

[This section to be scored by application evaluator.]

Evaluation (10 Points Maximum)

- The funding request contains questionable items (0-3 points)
- The funding request seems reasonable with few questionable items (4-6 points)
- The funding request seems reasonable with no problem areas (7-10)

I. Scope

Is this project the first part of a future, larger project?

☐ YES (If "YES", explain.) ☒ NO, it is a stand-alone project.

Explanation:

Is this project a continuation of a previously begun project?

☒ YES (If "YES", explain.)

Explanation:

The ICON project within the Department of Corrections is a continuation of a previously begun project. The NCIC 2000 project in the Department of Public Safety is also a continuation of a previously begun project. However, both of these projects are part of a larger, statewide integration initiative.

J. Source of Funds

On a fiscal year basis, how much of the total project cost (\$ amount and %) would be absorbed by your agency from non-Pooled Technology and/or IOWAccess funds? If desired, provide additional comment / response below.

Response:

0%

[This section to be scored by application evaluator.]

Evaluation (5 Points Maximum)

- 0% (0 points)
- 1%-12% (1 point)
- 13%-25% (2 points)
- 25%-38% (3 points)
- 39%-50% (4 points)
- Over 50% (5 points)

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Section II: Financial Analysis

A. Project Budget Table

It is necessary to estimate and assign a useful life figure to each cost identified in the project budget. Useful life is the amount of time that project related equipment, products, or services are utilized before they are updated or replaced. In general, the useful life of hardware is three (3) years and the useful life of software is four (4) years. Depending upon the nature of the expense, the useful life for other project costs will vary between one (1) and four (4) years. On an exception basis, the useful life of individual project elements or the project as a whole may exceed four (4) years. Additionally, the ROI calculation must include all new annual ongoing costs that are project related.

The Total Annual Prorated Cost (State Share) will be calculated based on the following equation:

$$\left[\left(\frac{\text{Budget Amount}}{\text{Useful Life}} \right) \times \% \text{ State Share} \right] + (\text{Annual Ongoing Cost} \times \% \text{ State Share}) = \text{Annual Prorated Cost}$$

Budget Line Items	Budget Amount (1st Year Cost)	Useful Life (Years)	% State Share	Annual Ongoing Cost (After 1st Year)	% State Share	Annual Prorated Cost
Agency Staff	\$0	1	0.00%	\$0	0.00%	\$0
Software	\$0	4	0.00%	\$0	0.00%	\$0
Hardware	\$297,000	3	100.00%	\$121,000	100.00%	\$220,000
Training	\$250,000	4	100.00%	\$0	0.00%	\$62,500
Facilities	\$0	1	0.00%	\$0	0.00%	\$0
Professional Services	\$250,000	4	100.00%	\$0	0.00%	\$62,500
ITD Services	\$0	4	0.00%	\$0	0.00%	\$0
Supplies, Maint, etc.	\$0	1	0.00%	\$0	0.00%	\$0

Other	\$0	1	0.00%	\$0	0.00%	\$0
Totals	\$797,000	---	---	\$121,000	---	\$345,000

C. Tangible and/or Intangible Benefits

Respond to the following and transfer data to the ROI Financial Worksheet as necessary:

1. Annual Pre-Project Cost - This section should be completed only if state government operations costs are expected to be reduced as a result of project implementation. **Quantify actual state government direct and indirect costs** (personnel, support, equipment, etc.) associated with the activity, system or process prior to project implementation.

Describe Annual Pre-Project Cost:

N/A

Quantify Annual Pre-Project Cost:

	State Total
FTE Cost (salary plus benefits):	\$0.00
Support Cost (i.e. office supplies, telephone, pagers, travel, etc.):	\$0.00
Other Cost (expense items other than FTEs & support costs, i.e. indirect costs if applicable, etc.):	\$0.00
Total Annual Pre-Project Cost:	\$0.00

2. Annual Post-Project Cost - This section should be completed only if state government operations costs are expected to be reduced as a result of project implementation. **Quantify actual state government direct and indirect costs** (personnel, support, equipment, etc.) associated with the activity, system or process after project implementation.

Describe Annual Post-Project Cost:

N/A

Quantify Annual Post-Project Cost:

	State Total
FTE Cost (salary plus benefits):	\$0.00
Support Cost (i.e. office supplies, telephone, pagers, travel, etc.):	\$0.00
Other Cost (expense items other than FTEs & support costs, i.e. indirect costs if applicable, etc.):	\$0.00
Total Annual Post-Project Cost:	\$0.00

3. Citizen Benefit - Quantify the estimated annual value of the project to Iowa citizens. This includes the "hard cost" value of avoiding expenses ("hidden taxes") related to conducting business with State government. These expenses may be of a personal or business nature. They could be related to transportation, the time expended on or waiting for the manual processing of governmental paperwork

such as licenses or applications, taking time off work, mailing, or other similar expenses. As a "rule of thumb," use a value of \$10 per hour for citizen time.

Describe savings justification:

Transaction Savings	
Number of annual online transactions:	0
Hours saved/transaction:	0
Number of Citizens affected:	0
Value of Citizen Hour	0
Total Transaction Savings:	\$0
Other Savings (Describe)	\$0
Total Savings:	\$0

4. Opportunity Value/Risk or Loss avoidance - Quantify the estimated annual non-operations benefit to State government. This could include such items as qualifying for additional matching funds, avoiding the loss of matching funds, avoiding program penalties/sanctions or interest charges, avoiding risks to health/security/safety, avoiding the consequences of not complying with State or Federal laws, providing enhanced services, avoiding the consequences of not complying with enterprise technology standards, etc.

Response:

The initial component of the ICON system, the ICON banking program, will be used as the baseline for cost avoidance calculation. The ICON Banking System resulted in a 30 minute per day "savings" of staff time for each employee in the District and Institution business office. This resulted in staff being able to process more accurate offender financial information. Approximately 1,000 employees will have 30 minutes extra per day to deal with offenders. This time is now spent doing paperwork which will be computerized with ICON. This equates to 500 hours per day of face to face contact with offenders with a value of over \$2,300,000 per year. This will improve the State's efforts to improve public safety.

5. Benefits Not Readily Quantifiable - List and summarize the overall non-quantifiable benefits (i.e., IT innovation, unique system application, utilization of new technology, hidden taxes, improving the quality of life, reducing the government hassle factor, meeting a strategic goal, etc.).

Response:

ROI Financial Worksheet	
A. Total Annual Pre-Project cost (State Share from Section II C1):	\$0
B. Total Annual Post-Project cost (State Share from Section II C2):	\$0
State Government Benefit (= A-B):	\$0
Annual Benefit Summary:	\$0
State Government Benefit:	\$0
Citizen Benefit:	\$0
Opportunity Value or Risk/Loss Avoidance Benefit:	\$2,300,000
C. Total Annual Project Benefit:	\$2,300,000

D. Annual Prorated Cost (From Budget Table):	\$345,000
Benefit / Cost Ratio: (C/D) =	6.67
Return On Investment (ROI): ((C-D) / Requested Project Funds) * 100 =	245.29%

[This section to be scored by application evaluator.]

Evaluation (25 Points Maximum)

- The financial analysis contains several questionable entries and provides minimal financial benefit to citizens (0-8 points).
- The financial analysis seems reasonable with few questionable entries and provides a moderate financial benefit to citizens (9-16 points).
- The financial analysis seems reasonable with no problem areas and provides maximum financial benefit to citizens (17-25).

Note: For projects where no State Government Benefit, Citizen Benefit, or Opportunity Value or Risk/Loss Avoidance Benefit is created due to the nature of the project, the Benefit/Cost Ratio and Return on Investment values are set to Zero.

Appendix A. Auditable Outcome Measures

For each of the following categories, list the auditable metrics for success after implementation and identify how they will be measured.

1. Improved customer service

The criminal justice community will be able to provide a greatly enhance level of customer service because the enhanced flow of timely and accurate information from an integrated system will provide for faster, more efficient action and decisionmaking on the part of justice practitioners. These actions will, in turn, increase public safety and increase the productivity and accountability of the criminal justice system. This can be measured by monitoring the crimes solved statistics, police response times, and incarceration rates.

2. Citizen impact

By providing more accurate and timely information to all members of the justice community in a more streamlined and efficient manner the citizens of the state will enjoy a safer environment in which to live and work through a greatly improved system of law enforcement and criminal justice. The increased level of public safety will be determined by monitoring the statistics in the Uniform Crime Report to see if the reportable crime rate decreases. Additionally, by providing the ability for the Department of Corrections to provide critical information to the Parole Board there will be a decrease in the recidivism rate as only the safest offenders are released back into society. This reduction in the recidivism rate translates into a safer environment for Iowans.

3. Cost Savings

Cost savings can be realized through "cost avoidance" as lawsuits or potential lawsuits are avoided as the criminal justice system becomes better informed, more responsive, and more customer-focused. Additionally, cost savings will be realized as a reduction in staff time spent doing paperwork within the Department of Corrections will be redirected toward more face-to-face contact with inmates. This means that overtime costs will be greatly reduced which can be verified via the departments payroll records.

4. Project reengineering

This project will result in an entirely new way of sending and receiving information between the various agencies within the justice community. It will also establish a new method for storing, warehousing, and retrieving criminal justice documents, images and transactions. This integration of information represents a new business process for the justice community and is a dramatic change from the old method of maintaining information in independent systems that are incapable of communicating with each other. This can be measured by documenting the increase in the number of integrated systems that develop across the enterprise.

5. Source of funds (Budget %)

No response required

6. Tangible/Intangible benefits

Tangible benefits: improved safety for criminal justice practitioners and the general public; better customer-oriented service for justice information systems users; increased cost avoidance through reduced litigation; better quality of product; more efficient, effective, and timely delivery of services; more accurate information; data will be captured at the originating entry point and leveraged many times. Intangible benefits: reduction or elimination of adversarial relationships and environments among criminal justice agencies; increased level of understanding among criminal justice agencies regarding the information they use and need; reduction or elimination of turf barriers among criminal justice agencies; increased public confidence; enhance the cooperative relationship between the state and local jurisdictions and the state and local governments.

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